

Element Performance Inspection (EPI) Data Collection Tool

7.1.4 Director of Operations (OP)

ELEMENT SUMMARY INFORMATION

Purpose of This Element (Certificate Holder's responsibility):

- To ensure the Certificate Holder's manual contains the qualifications, duties, responsibilities and the authority necessary so that the individual serving as the Director of Operations (or equivalent) may discharge those duties in a manner that ensures the highest degree of safety in the Certificate Holder's operations.

Objective (FAA oversight responsibility):

- To determine if an individual is serving full time in the capacity of the Director of Operations (or equivalent) meets the Certificate Holder's qualifications for the position and performs those duties, responsibilities and exercises the authority in a manner that ensures the highest degree of safety in the Certificate Holder's operations.

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirement(s) (SRRs):

- SRRs:
 - 119.39(b)(3)
 - 119.65(a)(2)
 - 119.65(b)
 - 119.65(c)
 - 119.65(d)(1)
 - 119.65(d)(2)
 - 119.65(d)(2)(i)
 - 119.65(d)(2)(ii)
 - 119.65(d)(2)(iii)
 - 119.65(d)(2)(iv)
 - 119.65(d)(2)(v)
 - 119.65(d)(3)
 - 119.65(e)(1)
 - 119.65(e)(2)
 - 119.65(e)(3)
 - 119.67(a)(1)
 - 119.67(a)(2)
 - 119.67(a)(3)(i)
 - 119.67(a)(3)(ii)

121.135(a)(1)
121.135(b)(1)
121.135(b)(3)
A006 Management Personnel

Related CFR(s) & FAA Policy/Guidance:

- Related CFRs:
- FAA Policy/Guidance:
 - 8400.10, Vol.2, Chapter 2
 - 8400.10, Vol.3, Chapter 1
 - 8400.10, Vol.3, Chapter 8
 - HBAT 98-27

EPI SECTION 1 – PERFORMANCE OBSERVABLES

Objective: (FAA oversight responsibility): To determine if the Certificate Holder follows its procedures, controls, process measures and interfaces for the Director of Operations.

Tasks

To meet this objective, the inspector must accomplish the following tasks (at the inspection locations where applicable):

- 1 Review the information listed in the Supplemental Information Section of this data collection tool.
- 2 Review the policies, qualifications, duties, responsibilities and the authority granted to the Director of Operations (or equivalent) contained in the Certificate Holder's manual
- 3 Interview the individual serving as the Director of Operations (or equivalent).

Questions

To meet this objective, the inspector must answer the following questions:

1. Were the following Performance Measures met:	
1.1 Is the Director of Operations (or equivalent) position currently occupied by the individual identified in Operations Specifications paragraph A006? <i>Related performance JTIs:</i> <ul style="list-style-type: none"> • Check at the certificate holder's specific location (call or visit) to determine that they have had a full time Director of Operations (or equivalent position), in accordance with the certificate holder's design. Sources: 119.65(a)(2); 121.135(b)(1) • Check at the certificate holder's specific location, against information at the FAA location, that the Director of Operations has been listed by title on paragraph A006 of the operations specifications, and that the certificate holder had the deviation, if applicable, for the Director of Operations listed in Operations Specifications paragraph A005 and A006, in accordance with the certificate holder's design. Sources: 119.65(c); 121.135(a)(1); 121.135(b)(1) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2 Does the Director of Operations (or equivalent) meet the qualifications as stated in the Certificate Holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3 Does the Director of Operations (or equivalent) satisfactorily fulfill the duties of the position, serving full time, without being burdened with additional job assignments? <i>Related performance JTIs:</i> <ul style="list-style-type: none"> • Check at the certificate holder's specific location that the certificate holder has had a list of each person authorized by it, to exercise operational control in its operator's manual, and does the responsibility of the Director of Operations include all operational functions, in accordance with the certificate holder's design. Sources: 119.65(e)(1); 121.135(b)(1) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2 Were the Certificate Holder's policies, contained in its manual for the Director of Operations (or equivalent) followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3 Were the Director of Operations (or equivalent) controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

4	Did the records for the Director of Operations (or equivalent) comply with the instructions provided in the Certificate Holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
---	--	--

<i>EPI SECTION 1 – PERFORMANCE OBSERVABLES –Drop Down Menu</i>
1. Personnel.
2. Tools and Equipment.
3. Technical Data.
4. Procedures, policies or instructions or information.
5. Materials.
6. Facilities.
7. Controls.
8. Process Measures.
9. Interfaces.
10. Desired Outcome.
11. Other.

EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

Objective: To determine if the person identified by the Certificate Holder having responsibility and/or authority for the Director of Operations is qualified, knowledgeable, and recognizes that responsibility and/or authority. (The person with the authority may or may not be the person with the responsibility.)

Tasks

To meet this objective, the inspector must accomplish the following tasks:

1 Identify the person that performs the duties and responsibilities of the Director of Operations (or equivalent) position for the Certificate Holder.

2 Identify the person that exercises the authority of the Director of Operations (or equivalent) position for the Certificate Holder.

NOTE: If no personnel or major program changes (as defined by the Principal Inspector) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3 – 6 below. Answer questions 2.1 & 2.2 below, and provide the name/title.

3 Review the duties and responsibilities of the person(s), documented in the Manual System.

4 Evaluate the qualifications and work experience of the person(s) above (or resume, if appropriate).

5 Review the appropriate organizational chart.

6 Discuss the Director of Operations (or equivalent) position with the person(s) serving in that capacity.

Questions

To meet this objective, the inspector will answer the following questions:

2. Are the following aspects of the Management Responsibility and Authority Attributes addressed for the Director of Operations (or equivalent) position:

2.1 Does the Certificate Holder have a clearly identified person performing the duties and responsibilities of the Director of Operations (or equivalent) position full time?

☐ Yes
☐ No, Explain
 Name/Title:

2.2 Does the Certificate Holder have a clearly identifiable person exercising the authority of the Director of Operations (or equivalent) position full time?

☐ Yes
☐ No, Explain
 Name/Title:

2.3 Does the individual serving as the Certificate Holder's full time Director of Operations (or equivalent) acknowledge the duties and responsibilities of this position?

☐ Yes
☐ No, Explain
☐ Not Applicable

2.4 Does the individual serving as the Certificate Holder's full time Director of Operations (or equivalent) acknowledge his/her duty to exercise the authority of this position?

☐ Yes
☐ No, Explain
☐ Not Applicable

<i>EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES –Drop Down Menu</i>	
1. Assignment of responsibility.	
2. Assignment of authority.	
3. Does not understand procedures, policies or instructions and information.	
4. Does not understand controls.	
5. Does not understand process measurements.	
6. Does not understand interfaces.	
7. Span of control.	
8. Position vacant.	
9. Other.	